

ROUTING AND RECORD SHEET

SUBJECT: (Optional)

Headquarters Records Review

FROM:

Director of Information Services
1206 Ames Building

EXTENSION

NO.

DATE

5 August 1981

TO: (Officer designation, room number, and building)

DATE

RECEIVED FORWARDER

OFFICER'S INITIALS

COMMENTS (Number each comment to show from whom to whom. Draw a line across column after each comment.)

1. EO/DDA

6 AUG 1981

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The Executive Secretary will be the focal point for Independent Offices and will provide a consolidated report.

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CIA REGISTRY
 CIA Registry
Records

DD/A Registry
81-1359/7

6 AUG 1981

MEMORANDUM FOR: Director, National Foreign Assessment Center
Deputy Director for Operations
Deputy Director for Science and Technology
Executive Secretary

FROM: Harry E. Fitzwater
Deputy Director for Administration

SUBJECT: Headquarters Records Review

REFERENCE: Multiple addressee memorandum from DDCI
dated 9 July 1981, same subject (ER 81-7735/1)

1. Attached are guidelines for surveying records, amending records control schedules, and transferring and destroying records during the Headquarters records review (paragraphs 5b and c of the reference). Directorate Records Management Officers (RMO's), in coordination with the Agency RMO and component PMO's, will establish procedures consistent with these guidelines for carrying out the review in each component. Guidelines for tying filing systems to the records control schedules (paragraph 5d of the reference) will be published before we reach that stage of the review.

2. The FY 1981 Annual Records Inventory will be conducted as part of the Headquarters records review. This will avoid the need to make an extra visit to each office to collect information on records holdings.

3. In the first progress report covering the month of August 1981, I would appreciate receiving the component plans that are to be developed by 31 August (paragraph 5a of the reference). Subsequent reports should cover the progress made toward carrying out these plans and meeting the deadlines in paragraphs 5b, c, and d of the reference. The final report submitted upon completing all stages of the review should include a summary of results achieved.

7s/ William N. Hart

for Harry E. Fitzwater

Attachment:
As stated

GUIDELINES FOR SURVEYING, SCHEDULING
AND DISPOSING OF RECORDS

TABLE OF CONTENTS

PARAGRAPH	TITLE	PAGE
1.	DEVELOPING A RECORDS CONTROL SCHEDULE	
a.	General	1
b.	The Inventory of Records	1
c.	Evaluating Records Series to Determine Retention Periods	2
d.	Writing the Records Control Schedule	2
2.	COORDINATION AND APPROVAL OF RECORDS CONTROL SCHEDULES	7
3.	AMENDMENTS TO RECORDS CONTROL SCHEDULES	10
4.	THE RECORDS INFORMATION SYSTEM (TRIS)	11
5.	RECORDS DESTRUCTION POLICY	12
6.	PROCEDURES FOR DESTRUCTION OF RECORDS IN OFFICE AREA	13
7.	PROCEDURES FOR TRANSFERRING RECORDS TO THE AGENCY ARCHIVES AND RECORDS CENTER (AARC)	16
a.	Supplies Needed	16
b.	Procedures	16
c.	Distribution of Forms 3940a and 4034a and Shipping Instructions	19
d.	Instructions for Transferring Microfilm	20

ATTACHMENT

Permanent Records Appraisal Guide

FIGURES

1. Form 138, Records Inventory Work Sheet
2. Form 139, Records Control Schedule
- 2a. Form 139a, Records Control Schedule Continuation Sheet
3. Standard Form 115, Request for Records Disposition Authority
4. Form 4016, Information Request Flag
5. Form 141c, Request for Authorization to Retain or Destroy Questionable Records
6. Form 140, Records Retirement Request
7. Form 4034a, File Review Worksheet (ARCINS Input)
8. Form 14, Records Storage Box Label
9. Form 3940a, Record of Top Secret Documents Transferred to Agency Archives and Records Center

1. DEVELOPING A RECORDS CONTROL SCHEDULE

a. GENERAL

The two basic phases in developing a records control schedule are:

(1) An inventory to identify records series, volume, and location

(2) A comprehensive records series evaluation to determine retention periods.

b. THE INVENTORY OF RECORDS

The records inventory is a list of each type of records within an office. It describes each records series, its location, and other pertinent information. The inventory is the heart of records scheduling and should be conducted in a thorough manner by records officers. Each series of records should actually be reviewed and measured. The records management officer should not rely solely on the existing records control schedule and oral descriptions by operating personnel.

(1) Use Form 138, Records Survey Work Sheet (Figure 1), which may be obtained from the Records Systems Branch, Records Management Division, Office of Information Services, DDA, 1236 Ames Building, extension

(2) Use existing schedules and the General Records Schedules issued by NARS (see para. c(1)) as guides in collecting the information needed to develop revised schedules. Work closely with the operating personnel responsible for the records in order to obtain answers to questions about each records series.

(3) Prepare Form 138 by hand, in one copy only, and use a separate form for each records series identified. Each records series and its component parts will usually constitute one schedule item when later preparing the records control schedule; some series may be combined into one schedule item.

(4) Use the instructions furnished in Figure 1 to complete Form 138.

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c. EVALUATING RECORDS SERIES TO DETERMINE RETENTION PERIODS

(1) NARS has published General Records Schedules covering predefined records series common to all Government agencies. RSB has on file certain Congressional disposition authorizations acquired from NARS and some Comptroller General (GAO) approvals for special records series that are not included in the NARS General Records Schedules. Both the General Records Schedules and the Congressional authorizations must be consulted when establishing disposition instructions for records series.

(2) Records series must be evaluated in order to determine which records should be destroyed, which should be preserved, and what retention periods are necessary. Retention values for particular records are determined on the basis of their administrative, fiscal, legal, scientific and technological, evidential, historical, or informational value. Following this basic evaluation, it also must be determined whether the records serve a long or short term purpose. General evaluation guidance is provided in NARS handbook "Disposition of Federal Records," Table 4, Permanent Records Appraisal Guidelines (attached).

d. WRITING THE RECORDS CONTROL SCHEDULE (FORM 139)

After the survey is completed and the records evaluations are made, the records control schedule should be prepared. Records control schedules provide for the systematic disposition of record and nonrecord material either by permanent preservation, destruction within the office area, transfer to another component, or transfer to the Agency Archives and Records Center.

(1) General Guidelines

(a) The fact that a system of records is published in the Federal Register under the requirements of the Privacy Act of 1974 must be considered when preparing or amending the records control schedule. Offices with published records systems must ensure that the retention and disposal statement in the Federal Register is consistent with the disposition instructions in the records control schedule. Any substantive difference must be brought to the attention of Chief, Information and Privacy Division, OIS/DDA, so that the Federal Register can be amended accordingly.

(b) The following statement must be included in parentheses at the end of each applicable records control schedule description: (Published in the Federal Register, Notification of Systems of Records, Privacy Act of 1974. The Federal Register must be amended if this system is changed or discontinued.)

(c) The records control schedule description covering record copies should begin: "Record copy of...." An office maintaining duplicates of records for which another office is the office of record should identify those records in the description: "Duplicate copies of... (AB is the office of record.)"

(d) Below are some questions that should be answered in developing records series descriptions and disposition instructions.

(1) Is this the office of record? If so, the disposition instructions must provide for the record copy. If not, the instructions must provide for the disposal of duplicate copies, which usually have a shorter retention period. Refer to paragraph (c) above.

(2) What purpose do the records serve--convenience, reference, policy, housekeeping, management, research, supplemental documentation?

(3) What does the term "project file" mean when used to describe records in this office? Are the records:

(a) A gathering of data to produce a report, publication, briefing, or some other published end product;

(b) A collection of data to develop an invention or material item other than a written product;

(c) A collection of data for use with any requirement that may arise in a particular area (usually background and reference information); or

(d) Data used to monitor a specific event or action without necessarily developing further action?

(These explanations will assist the appraiser in determining the retention value of the many series that may be described as "project" records.)

(e) Below are some preferred terms or phrases when writing records descriptions and disposition instructions.

- (1) "Destroy" rather than "dispose."
- (2) "Transfer" rather than "retire, ship, forward, or send."
- (3) "Record copy" rather than "original."
- (4) Duplicates should be called "duplicates" and nonrecords should be called "nonrecords" rather than "copies."
- (5) "Hold" rather than "retain."
- (6) "Screen" rather than "purge."
- (7) "Sanitize" rather than "sterilize."
- (8) "Erase" rather than "degauss."
- (9) When describing logs or control cards use as a general term "control records."

(2) Guidance for Completing Form 139, Records Control Schedule (Figure 2) and Form 139a, Continuation Sheet (Figure 2a)

(a) Schedule No.

All records control schedules are numbered in accordance with the assigned Office of Primary Interest (OPI) number followed by the year of preparation (i.e., 00-80).

(b) Directorate/Office

Enter the appropriate office designation.

(c) Item Number

Beginning with number one, list and number each records series consecutively, starting with series common to the entire directorate/office and continuing with unique records series for each component within the directorate/office.

(d) File Identification

Describe each records series precisely. If the records are part of an automated data processing system, the system alone may be considered a records series or the user may view the system as belonging to a larger series of

records. This series description must accurately identify the records and help determine the prescribed disposition. Each file identification consists of six elements:

- (1) The title or name of the file.
- (2) A meaningful description of the file.
- (3) A brief statement of the specific function or operation for which the file is maintained.
- (4) The file arrangement.
- (5) Storage medium; i.e., microfilm, punchcards.
- (6) The inclusive dates of the file.
- (e) Volume

Enter the total volume in cubic feet of each permanent file series and the estimated annual growth; e.g., 120/10. Include all records in the series, whether located in the office or in AARC. Fractions are rounded to the nearest half foot.

(f) Disposition Instructions

Entries in this column are made only after careful evaluation of the records series, based on guidance provided in paragraph 1c. The disposition instructions consist of the following elements:

- (1) Preface each instruction with the word "PERMANENT" or "TEMPORARY," whichever is applicable. All disposition instructions must specify the total retention period followed by complete instructions for file cutoff, transfer, and destruction. Examples:

Temporary. Destroy 2 years after cutoff. Cut off at end of each calendar year, hold in current files area for 2 years and destroy.

Temporary. Destroy 3 years after cutoff. Cut off at end of each calendar year, hold in current files area for 1 year, then transfer to AARC for 2 years and destroy.

Permanent. Cut off at end of each calendar year, hold in current files area for 2 years, then transfer to AARC.

Permanent. Transfer to AARC when no longer needed in the current files area.

(2) Disposition instructions for microfilmed records will provide for the disposition of the microforms as well as the original records.

(3) The General Records Schedules, previous NARS approvals, or any other officially established disposition authority must be cited at the end of the disposition instructions of the records to which they apply; e.g., (GRS 18-6a), (NC-123-78-45), (GAO Title 8). If the proposed disposition differs from the authorized disposition, justification must be provided on a separate sheet, cross-referenced to the schedule item citing the authority.

2. COORDINATION AND APPROVAL OF RECORDS CONTROL
SCHEDULES

<u>WHO</u>	<u>DOES WHAT</u>
a. Records Management Officer (RMO)	Forwards draft of schedule to RSB for review.
b. RSB	Reviews schedule and discusses any questions with RMO.
c. RMO	(1) Incorporates any changes made to the schedule and prepares final draft. (2) Forwards draft to RSB.
d. RSB	(1) Coordinates draft schedule with Agency Archives and Records Center. (2) Contacts NARS representative to arrange for NARS review.
e. NARS Representative	Reviews draft schedule and recommends any changes to RSB.
f. RSB	Coordinates changes recommended by NARS representative with RMO.
g. NARS Representative	Reviews changes and approves final draft.
h. RSB	(1) Prepares final schedule (see Figure 2 and 2a) and SF 115, Request for Records Disposition Authority. In order to keep the SF 115 unclassified, records series

WHO

DOES WHAT

are described by title only followed by the appropriate disposition instruction (see Figure 3).

(2) Coordinates final schedule and SF 115 and obtains signatures of RMO and office/directorate head, approving content and security classification; obtains OGC concurrence where appropriate.

(3) Forwards original and three copies of SF 115 to NARS.

(4) Forwards one copy of records control schedule and SF 115 to Office of Policy and Planning (OPP) for transmittal to the SSCI.

(5) Holds original copy of records control schedule and one copy of SF 115 with coordination sheet until approval received from NARS.

i. NARS

If clarification is necessary on an SF 115, notifies C/RSB.

j. C/RSB

(1) Hand-carries records control schedule to NARS for meeting.

(2) When approved SF 115 is received from NARS, notes on the original records control schedule any changes made by NARS.

k. RSB

(1) If any changes were made by NARS, sends a copy of each amended page of records control schedule and SF 115 to OPP for the SSCI.

WHO

DOES WHAT

(2) Distributes copies of records control schedule and SF 115 as follows:

Form 139, 139a, and SF 115--RSB (Office of Record).

1 of each--Directorate RMO.

1 of each--Responsible RMO (if other than directorate RMO).

1 of each--Agency Archives and Records Center.

Upon receipt of the approved schedule, the office may transfer records to the Agency Archives and Records Center as authorized by the disposition instructions. No destruction may occur under the approved schedule until 60 days after receipt of the records control schedule and SF-115 by the SSCI. RSB will inform the RMO of the expiration of the 60 days in the transmittal memo covering their copy of the records control schedule and SF 115. This procedure also applies to amendments made to the records control schedule.

- 3. AMENDMENTS TO RECORDS CONTROL SCHEDULES

FPMR 101-401-3(e) requires that records control schedules be reviewed annually and amended as necessary to maintain currency. Amendments are necessary for such situations as organizational changes, the creation of new file series, conversion of a file series to microfilm, transfer or deletion of existing file series, or substantive changes in item identifications or disposition instructions. It is the responsibility of the RMO's to ensure their records control schedules are current.

a. When changes to a records control schedule involve the addition of a new file series, conversion of a file series to microfilm, substantive changes in item identifications, or changes in retention periods, the procedures in paragraph 2 should be followed.

b. Amendments such as organizational changes, discontinuance of file series, or transfer of files from one office to another do not require resubmission of an SF 115 to NARS. Requirements for effecting such changes are:

(1) Discontinued File Series or Organizational Changes. RMO's are responsible for informing RSB by memorandum of any discontinued file series or intradirectorate organizational changes explaining the nature of the change and effective dates. The original and one copy of the memo should be sent to RSB via the directorate RMO, with one copy to AARC. RSB will retain the original with the record copy of the records control schedule and forward one copy to the SSCI via OPP.

(2) Transfer of Files. Interoffice transfers of files are effected by memorandum signed by both the transferring and the accepting office. It is the responsibility of the RMO's of each office to amend their records control schedules to reflect the changes. The RMO of the gaining office should add the records series to the records control schedule, identifying the losing office, old records control schedule item number, and date received, and forward an original and one copy of the Form 139 to RSB and one copy to AARC. RSB will distribute the original and one copy as in paragraph 3b(1) above.

4. THE RECORDS INFORMATION SYSTEM

- a. An important part of the Agency's control over records transferred to the Agency Archives and Records Center is a computer system called the Archives and Records Center Inventory System (ARCINS). ARCINS is a subsystem of The Records Information System (TRIS), a computer-based records management system being developed by OIS.
- b. All records transferred to AARC are entered into the ARCINS system by job number, box number, folder number, folder title, and inclusive dates. When completed, ARCINS will provide an index to all file folders deposited in AARC.
- c. After a folder-level inventory of the records is created in the ARCINS computer file, a printout is given to the Classification Review Division (CRD), OIS. This enables CRD to select 20-year-old permanent records for systematic declassification review in accordance with Executive Order 12065. Each item reviewed for declassification is indexed and entered into the Declassification and Review (DARE) subsystem of TRIS.
- d. Another subsystem planned as a part of TRIS is the Records Center and Archives Management System (RAMS). It is envisioned that this system will consist of a network of online terminals connecting AARC with RMO's throughout the Agency. The system is intended to reduce the paperwork required in depositing, accessioning, maintaining, referencing, servicing, and disposing of retired records by enabling these transactions to be conducted via computer.

5. RECORDS DESTRUCTION POLICY

a. Before destroying any records, each employee must consult the component RMO and the custodian of the records to ensure that the records are scheduled for immediate destruction on an approved records control schedule.

b. Records relating to pending Freedom of Information Act (FOIA) or Privacy Act (PA) requests to the Agency are subject to additional retention periods established by the Archivist which are included in the records control schedules. Normally, requested records are duplicated in their entirety at the time of a request, and the duplicate copies are maintained in accordance with the retention period for the related request. However, if such duplication is not practical, the records are instead flagged at the time of the request, using Form 4016, Information Request Flag (see Figure 4), and must be segregated from the records series at the time the records series is being processed for destruction. Alternatively, all records in process for destruction may be checked against an automated index of FOIA/PA requirements.

c. It also must be determined that records being processed for destruction are not related to actual or impending litigation or to matters under investigation by the Department of Justice or Congress. The initial determination will be made by the component RMO and the custodian based on their review of the records and on information provided by the General Counsel and the Office of Policy and Planning to the component RMO through the Agency and directorate RMO's. If the initial review raises any question as to actual or impending legal or investigative requirements for the records, authority to destroy them must be obtained by routing Form 141c, Request for Authorization to Retain or Destroy Questionable Records, through the custodian and the component and directorate RMO's to RSB. The Agency RMO will obtain the concurrence of the General Counsel prior to approving the actual destruction of the records. (If approval is denied, the Agency RMO must submit to the Archivist a request for authorization to retain the records longer than originally scheduled.)

d. RSB must be notified if any improper files on United States citizens or resident aliens are identified using the criteria of Executive Order 12036, 24 January 1978.
Section 2, Restrictions on Intelligence Activities

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6. PROCEDURES FOR DESTRUCTION OF RECORDS IN OFFICE AREA

WHODOES WHAT

Records Custodian

Consults with RMO regarding records to be destroyed.

Component RMO

(1) Verifies that records are scheduled for immediate destruction per the approved records control schedule.

(2) If not, authorizes records to be held until due for destruction or prepares amendment to the records control schedule in accordance with paragraph 3.

(3) If records are due for destruction, checks the records against the OGC-OPP Records Retention Requirements List. If records are free of OGC and OPP interest and do not contain records pertaining to FOIA or PA requests, authorizes destruction of records.

(4) If records contain information related to an item or items on OGC-OPP list or information that might be of possible interest to OGC or OPP, prepares an original and 4 copies of Form 141c (see Figure 5).

(5) Forwards original and four copies of Form 141c to Directorate RMO.

c. Directorate RMO

Reviews request and if in agreement, signs Form 141c and forwards all copies to C/RSB.

WHODOES WHAT

d. C/RSB

Reviews and assigns number to request, holds suspense copy and forwards remaining copies of Form 141c to OGC.

e. OGC

(1) Determines if records should be retained or destroyed and checks appropriate box on Form 141c. If further retention required, recommends proposed new disposition instructions.

(2) Retains one copy of Form 141c and forwards original and remaining copies to Chief, Records Management Division, OIS.

f. C/RMD

Approves request based on OGC review and forwards Form 141c to C/RSB.

g. RSB

(1) If records authorized for destruction, distributes Form 141c as follows:

Orig. - RSB

1 - Directorate RMO

1 - Component RMO

1 - Requesting Office

(2) If some or all records are to be retained:

(a) In coordination with the Component and Directorate RMO's and OGC, prepares a letter requesting extension of the retention period and forwards to NARS for approval and one copy to SSCI.

<u>WHO</u>	<u>DOES WHAT</u>
	(b) Forwards copy of approved letter with copy of Form 141c to component RMO, directorate RMO, and requesting office.
h. Component RMO/ Custodian	(1) If records are authorized for destruction, destroys records. (2) If records are to be retained, posts new disposition date on file and index. (3) If some records are to be destroyed and others retained, flags those records to be retained with Form 4016. Posts new disposition date on file or index. Destroys remaining records. NOTE: If records authorized for destruction consist of material containing silver or other precious metals (e.g. microfilm, photo paper, X-rays, etc.), contact Plans and Programs Staff, Office of Logistics, for disposition instructions.

7. PROCEDURES FOR TRANSFERRING RECORDS TO THE AGENCY ARCHIVES AND RECORDS CENTER (AARC)

a. SUPPLIES NEEDED

(1) Boxes--records center boxes are available in Building Services Branch (BSB). Check with RMO if special type boxes are needed.

(2) Form 140, Records Retirement Request--available in BSB (Figure 6).

(3) Form 4034A, File Review Worksheet--available in BSB (Figure 7).

(4) Form 14, Records Storage Box Label--available in BSB (Figure 8).

(5) Form 3940A, Record of Top Secret Documents Transferred to Agency Archives and Records Center--available in BSB (figure 9).

b. PROCEDURES

<u>WHO</u>	<u>DOES WHAT</u>
(1) Custodian	<p>(a) Checks records against applicable items of records control schedule to ensure compliance with disposition instructions.</p> <p>(b) Prepares Part I of Form 140. The description in Part I should include name of the file series, content and arrangement of the records, function or purpose for which the file was created, inclusive dates of the files, and media of records (paper, microfiche, magnetic tape, etc.).</p> <p>NOTE: More than one series of records may be transferred under the same Form 140, but only if the applicable records control schedule items have the same disposition date.</p>

WHODOES WHAT

(2) Component RMO

- (c) Forwards Form 140 to component RMO. If Top Secret (TS) or SCI material is included in records to be transferred, note either TS or appropriate SCI system designator on the form.
- (a) Reviews Form 140 for completeness and verifies that records are eligible for transfer. Completes Part II of Form 140.
- (b) Forwards original and four copies of Form 140 to accessioning unit of AARC with note if there are any special circumstances concerning the transfer.
- (c) When copy of Form 140 with job number is received from AARC as authorization to transfer records, notifies custodian to prepare the records for transfer.

(3) Custodian

- (a) Removes and destroys duplicates and ensures proper filing arrangement of records. Replaces pressboard folders with kraft folders. Checks labels for proper file titles and inclusive dates.
- (b) Packs the records in the boxes without disturbing the existing filing arrangement. (To facilitate reference service at AARC, files must be placed in the boxes as follows: viewing the label end as the front of the box, place letter-size files in front-to-back order and legal size files in left-to-right order.

WHODOES WHAT

Leave room in the boxes so that folders can be removed easily for reference.)

(c) Numbers folders consecutively within each box (front-to-back or left-to-right, as appropriate) beginning with No. 001 for each box. Numbers each folder on the upper right corner of folder tab or upper right corner of documents not contained in folders. (Odd-size material such as magnetic tapes, belts, cassettes, microfilm cartridges, or individual microfiche should be numbered as file folders. A tray of microfiche may be numbered as one folder if its content involves a single subject; in this case, reference service to individual microfiche within the tray will not be provided--instead the entire tray must be retrieved.)

(d) Completes Form 4034A, File Review Worksheet, in triplicate, following the instructions printed on the back of that form.

NOTE: AARC will service reference requests only to the level at which they are entered on Form 4034A; e.g., if you have only one entry per box, you must recall the whole box.

(e) Completes Form 3940A if collateral TS documents are included in the job. (Individual TS documents will be flagged so they can be readily seen upon opening the box. The Control and Cover Sheet for Top Secret Documents, Form 26, has a tab designed for this purpose. Green cardboard tabs may be obtained from AARC if needed.)

WHODOES WHAT

(f) If SCI material is involved, follows established security and administrative procedures furnished by RMO.

(g) Completes Form 14, Records Storage Box Label, for each box. Cites any access restrictions on the Form 14. Affixes label to the upper left corner of the small seamless end of the box.

(h) Contacts component RMO for review of boxes and paperwork.

(4) Component RMO

Reviews files and paperwork for completeness and furnishes any special instructions necessary.

c. **DISTRIBUTION OF FORMS 3940A and 4034A and SHIPPING INSTRUCTIONS**

(1) Form 3940A, Record of Top Secret Documents Transferred to Agency Archives and Records Center

Original and 2 - to AARC with records. (AARC verifies, signs and returns Original to area Top Secret Control Officer (TSCO) and forwards a duplicate copy to the Agency TSCO.) AARC retains one copy.

1 - retained by custodian

1 - sent to Area TSCO prior to shipment of records as suspense copy

(2) Form 4034A, File Review Worksheet

Original - Sent to Information Technology Branch (ITB), RMD/OIS for input into ARCINS. (Once data is input and verified, ITB will send two copies of computer-generated shelf list to component RMO.)

1 - AARC with records.

1 - Component RMO as holdback.

(3) Boxes of Records

(a) If the total number of records center boxes is ten or less the boxes will be picked up during the regular courier pickup.

(b) If there are ten or more but less than 50 boxes, call the Mail and Courier Branch, OL/LSD, to arrange for a special pickup.

(c) If there are 50 or more boxes, the RMO will call AARC to arrange for transport. The AARC needs:

(1) Number and type of boxes.

(2) Location where the records are to be picked up.

(3) Name and extension of custodian.

(4) Any other applicable information if the shipment is unusual.

d. INSTRUCTIONS FOR TRANSFERRING MICROFILM

Basically the same procedures established in paragraph 7b should be followed for transferring microfilm to AARC. Below are some additional instructions to be followed for microfilm records.

(1) Documentation, Verification, and Certification

(a) The fact that the records are on microfilm must be made a part of the description on Form 140; i.e., "records are on 16mm microfilm," "records are on microfiche," or a similar statement that adequately describes the medium. If source documents are destroyed, a certification statement that the microfilm has been verified must be on the Form 140 and should read: "The microfilm described hereon has been verified and is a complete and accurate copy of the original record." All microfilm of source documents must be verified against the original records by the creating office.

(b) If the microfilm is a permanent record, the silver original (or a silver duplicate) plus one copy (which may be silver, diazo, or vesicular) must be transferred to AARC. Two job numbers and therefore two Forms 140 are necessary for permanent microfilm due to the separate storage locations of the original and duplicate copies at AARC (see paragraph (3) below). The original silver and duplicate must be transferred in separate containers. The film should be arranged identically

in each container. Each Form 140 should indicate whether the microfilm is the silver original or the silver, diazo, or vesicular duplicate. Two identical sets of Form 4034A are required, one for each job number. NOTE: This procedure is necessary because the silver original is not used for reference purposes.

(c) The fact that the records consist of microfilm must be recorded in the column headed "Medium" on the Form 4034A.

(2) Storage Containers for Microfilm

(a) Only microfilm storage containers meeting Federal Property Management Regulations (FPMR) standards may be used to store the silver original of permanent microfilm. ITB has developed a storage/transfer container for microfiche that meets the FPMR standards for the silver original of permanent microfilm and is inexpensive enough to use for all microfiche. Since this box also makes maximum use of the shelf space in AARC, it must be used for all transfers of microfiche. This box is available from AARC.

(b) Foreign materials such as rubber bands, paper clips, or string must not be used to confine film on reels or cores. Only acid free paper strips may be used for this purpose. Microfiche must be independently filed in acid free envelopes in the storage containers without using paper clips, rubber bands, or other items to bind them together.

(3) Storage Facilities for Microfilm

Microfilm that is temporary is stored in the normal AARC stack areas. The silver original of microfilm that is permanent, or used to produce additional copies for supplemental distribution, is stored in the cool room. Duplicates of the permanent silver original microfilm are stored in the normal stack areas.

(4) Use of Microfilm

The silver original of permanent microfilm must not be used for reference or verification purposes. Duplicates must be used for reference and verification. The silver original may be used only to produce additional duplicates as necessary.

**TABLE 4 – PERMANENT RECORDS APPRAISAL
GUIDELINES**

The generic series descriptions listed below illustrate the types of records normally appraised for permanent retention by NARS. Because of the wide variety of records created in the Federal Government and the complex nature of the appraisal process, this list cannot detail every type of series that may be appraised for retention. In addition, the list applies only to current records whose life cycle has been carefully controlled. Somewhat different standards apply to records created in earlier periods of our history when the maintenance and disposition of Federal records were not as closely regulated. Because many important 19th-century records were inadvertently destroyed by fire, flood, and general neglect, routine administrative and housekeeping records are often preserved for this period to show the functions of the Federal Government.

1. General Subject Files Documenting Substantive Agency Programs.

Correspondence with other Federal agencies, Members of Congress and congressional committees, the Executive Office of the President, the President, private organizations and individuals, internal agency memorandums, narrative and statistical reports, budget estimates and justifications, and a variety of other records concerning all substantive and distinctive programs of the agency. These series represent the basic system of records documenting the evolution of major policies and procedures and are frequently designated for permanent retention when created at the following levels: secretary; under secretary; deputy secretary; assistant secretary; administrators, chairpersons, commissioners, and directors of administrations, bureaus, and services within a department; and heads of independent Federal agencies and their chief assistants. Where the agency's important programs are not documented in program correspondence maintained at these higher levels, similar records created at lower levels must be designated for preservation. The number of series selected from a given agency will depend on the degree of duplication evidenced by comparisons among files created at the various administrative levels. Where substantial duplication does exist, the file created at the highest level will be chosen. Where little or no duplication exists, series at all levels will be taken and in some cases at levels lower than those indicated above.

2. Selected Case Files.

Many Federal records are created in the form of case files. These records may include correspondence, memorandums, periodic narrative reports, and similar materials which relate to a specific action, event, person, place, project, or other subject and provide complete documentation of an agency's activities from initiation to conclusion. Although most case file series are disposable at some future date, a

complete set occasionally may be designated for permanent retention, particularly when the files have been captured in machine-readable form. More frequently, however, only a portion of a case file series is selected for transfer to the National Archives. Those chosen normally fall under one or more of the following categories. The case:

- a. Established a precedent and therefore resulted in a major policy or procedural change;
- b. Was involved in extensive litigation;
- c. Received widespread attention from the news media;
- d. Was widely recognized for its uniqueness by established authorities outside the Government;
- e. Was reviewed at length in the agency's annual report to the Congress; or
- f. Was selected to document agency procedures rather than to capture information relating to the subject of the individual file.

Categories a through e establish the exceptional nature of a particular case file while category f relates to routine files chosen because they exemplify the policies and procedures of the creating agency. The types of case files selected for permanent retention under the criteria established above include, but are not limited to, research grants awarded for studies; research and development projects; investigative, enforcement, and litigation case files; social service and welfare case files; labor relations case files; case files related to the development of natural resources and the preservation of historic studies; public works case files; and Federal court case files.

3. Analytical Reports.

Analytical research studies and periodic reports prepared by the agency or by a private organization or individual under contract to the agency or in receipt of a grant from the agency. Studies and reports selected for permanent retention may be statistical, narrative, machine-readable or audiovisual in nature. Regional reports prepared by field offices and forwarded to the agency's headquarters are frequently selected because they contain information relating to ethnic, social, economic, or other aspects of specific geographical locations. Excluded from selection are studies and reports which are published and therefore widely available in public libraries, as well as recurring periodic reports which are summarized on an annual basis. (See item 13 for publications permanently retained.) In some instances, only selected studies and reports are maintained for future research.

4. Formal Minutes of Boards and Commissions.

Minutes of meetings of boards and commissions of Federal agencies documenting substantive policy and procedural decisions. Frequently, the executive direction of a Federal agency is provided by a board or commission rather

than by a single appointed individual. Typically, these agencies are regulatory bodies such as the Federal Trade Commission, but also include organizations such as the Pension Benefit Guaranty Corporation and the Commission of Fine Arts. Minutes may be literal transcriptions or edited summaries. Sound recordings of these meetings should also be preserved.

5. Records of Internal Agency, Interagency, and Non-Federal Committees.

Minutes, agenda, proposals submitted for review, and final recommendations of meetings of ad hoc committees as well as more formally established councils, conferences (e.g., White House Conferences), and task forces attended by senior agency officers. These meetings may be limited to internal agency personnel or may include representatives from other Federal agencies or even non-Federal groups. Records selected for permanent retention to document interagency meetings will be limited to the agency designated as the group's secretariat. The minutes selected may be summary in nature, verbatim transcripts, or audio or video recordings.

6. Legal Opinions and Comments on Legislation.

Memorandums prepared by an agency's legal counsel or program officers concerning interpretations of existing laws and regulations or the effects of proposed laws and regulations which govern the agency or which have a direct effect on its operations. Records selected under this item concern the agency's primary missions and normally exclude general opinions and comments relating to other Federal agencies. Included are formal comments on pending legislation prepared at the request of the Congress or the Office of Management and Budget. Most of these records are permanent when created in the offices of general counsels of departments and independent agencies. Excluded are copies of bills, hearings, and statutes held for convenient reference. Similar records maintained below the departmental level may not be archival depending on their content and relationship with records of the departmental counsel.

7. Evaluations of Internal Operations.

Studies conducted to determine the effectiveness of the procedures adopted to achieve established policy goals. These may include evaluations of both program and administrative operations and may be made by the agency itself (inspectors general) or by outside oversight agencies (General Accounting Office). Only those studies which recommend significant changes in policy or procedural violations are preserved. In addition, a complete record set of studies prepared by oversight agencies are designated for preservation in the creating agency. All other copies are disposable.

8. Formal Directives, Procedural Issuances, and Operating Manuals.

Formal directives distributed as orders, circulars, or in loose-leaf manual form announcing major changes in the agency's policies and procedures. Normally these are issued with the authority of the head of the agency. Extensive procedures are frequently detailed in lengthy operating manuals.

9. Records on Functional Organization.

a. **Organizational charts and reorganization studies.** Graphic illustrations which provide a detailed description of the arrangement and administrative structure of the functional units of an agency. Reorganization studies are conducted to design an efficient organizational framework most suited to carrying out the agency's programs and include materials such as final recommendations, proposals, and staff evaluations. These files also contain administrative maps that show regional boundaries and headquarters of decentralized agencies or that show the geographic extent or limits of an agency's programs and projects.

b. **Functional statements.** Formally prepared descriptions of the responsibilities assigned to the senior executive officers of an agency at the division level and above. If the functional statements are printed in the Code of Federal Regulations, they are not designated for preservation as a separate series.

10. Briefing Materials.

Statistical and narrative reports and other summary materials prepared for briefings of recently appointed heads of agencies and their senior advisors to inform them of the current status of the agency. In addition, briefing books are occasionally prepared to inform an agency head of the current status of a major issue confronting the agency or in preparation for hearings, press conferences, or major addresses.

11. Public Relations Records.

a. **Speeches, addresses, and comments.** Remarks made at formal ceremonies and during interviews by heads of agencies or their senior assistants concerning the programs of their agencies. The speeches and addresses may be presented to executives from other Federal agencies, representatives of State and local governments, or private groups, such as college and university students, business associations, and cultural organizations. Interviews may be granted to radio, television, or printed news media commentators. The format selected may be paper, audio or video tape, machine-readable tape or discs, or motion picture film.

b. **News releases.** One copy of each prepared statement or announcement issued for distribution to the news media. News releases announce events such as the adoption of new agency programs, termination of old programs, major shifts

in policy, and changes in senior agency personnel and may be a textual record such as a formal press release or nontextual record, such as film and video or sound recordings.

12. Agency Histories and Selected Background Materials.

Narrative agency histories including oral history projects prepared by agency historians or public affairs officers or by private historians under contract to the agency. Some background materials (such as interviews with past and present personnel) generated during the research stage may also be selected for permanent retention. Excluded are electrostatic copies of agency documents made by the researcher for convenient reference.

13. Publications.

Formally prepared publications printed by the Government Printing Office, the National Technical Information Service, or the agency itself. Examples of such publications include annual reports to the Congress; studies conducted by the agency or under contract for the agency; procedural brochures, pamphlets, and handbooks distributed for guidance to other Federal agencies, State and local governments, and private organizations and citizens; instructional and educational materials on audiovisual formats (audio or video recordings, motion picture, filmstrips and slide-tape productions); maps; and film productions and television and radio programs prepared to furnish information on agency policies or promote agency programs and operations. The availability of reference copies of audiovisual items in non-Government depositories does not exclude retaining the original production elements required to ensure the preservation of the audiovisual items.

14. Visual, Audio, and Graphic Materials.

Agency-originated motion picture film, still photography, sound and video recordings, cartographic materials, or architectural drawings created to record substantive events or information that cannot be or normally are not recorded in written form. Examples of these materials are instantaneous recordings or photographic coverage of significant scientific or technological phenomena and significant nonrecurring events, such as combat operations, lunar explorations, and extemporaneous occurrences, discussions, and interviews; maps recording topographic information for specific geographic areas; and architectural/engineering drawings recording the building program of individual Federal agencies.

15. Scientific and Technical Data.

Data resulting from observations of natural events or phenomena or from controlled laboratory or field experiments. These data generally are created at project or operating levels rather than at administrative levels. The data may be recorded in either human-readable or machine-readable

format and be found in laboratory notebooks, completed forms, tabulations and computations, graphs, microforms, or machine-readable files. Scientific and technical data are selected for permanent preservation if they are unique, usable, and important. If these data are accurate, comprehensive, and complete, if they can and are likely to be applied to wide variety of research problems, then they can also be considered to have passed the test of usability. Data which can be recreated because they document repeatable activities may also be considered both unique and usable if they constitute a definitive, critical, or standard reference data set. The cost of data collection is one, but not the only, measure of its importance. In assessing the importance of any set of data, consideration should be given to its historical as well as its scientific significance.

16. Socioeconomic Micro-Level Data.

Micro-level data collected for input into periodic and one-time studies and statistical reports including information filed to comply with Government regulations. The information may cover such subjects as economic and tax information, health care, demographic trends, education, discrimination, and other comparable social science areas. Although agency reports and studies, briefing materials, and official releases frequently summarize these data, the micro-level information, usually in machine-readable form, is of permanent value. Obviously, the data must be usable in their raw state if they have not been converted to a machine-readable form.

RECORDS INVENTORY WORK SHEET

MAKED BY (1)	EXTENSION (2)	DATE (3)
DE, DIVISION, BRANCH, SECTION (4)	CUSTODIAN (5)	LOCATION (6)
IDENTIFICATION (7)		
OPTION (8)		

- Name of person conducting the survey.
- Telephone extension of person conducting the survey.
- Date the inventory is conducted.
- Directorate, Office, Division, Branch and Section maintaining the files.
- Person responsible for the files.
- Room Number and Building where the files are located.
- Brief title of record series.
- A clear description including the function and value of the records is basic to the success of the inventory and the schedule.
- Arrangement of record series; i.e., alphabetic by subject, chronological, numerical by case number, etc.
- The years of the oldest and most recent documents in the series.
- Note the media of the records; i.e., paper, audio-visual, magnetic cards, etc.
- How often are files referred to? This information is pertinent in establishing disposition instructions.
- The office responsible for maintaining the official file for the Agency should be noted for each record series.
- Measurements should be as simple as possible; figures may be rounded to the nearest half-foot.

3 ARRANGEMENT (9)	INCLUSIVE DATES (10)
OF RECORDS (11)	FREQUENCY OF USE (12)
2 OF RECORD (13)	VOLUME (CUBIC FEET) (14)

ss

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RECORDS CONTROL SCHEDULE		CLASSIFICATION	OLD SCHEDULE NO(S).	REVISED SCHEDULE NO.
DIRECTORATE/OFFICE			DATE OF OLD SCHEDULE(S)	
OLD SCHEDULE AND ITEM NO(S.)	NEW ITEM NO.	FILES IDENTIFICATION (TITLE, DESCRIPTION, ARRANGEMENT, AND INCLUSIVE DATES)	VOLUME (CU. FT.)	DISPOSITION INSTRUCTIONS

Approved For Release 2005/08/02 : CIA-RDP84B00890R000600140003-6

OLD SCHEDULE AND ITEM NO(S).	NEW ITEM NO.	FILES IDENTIFICATION	CLASSIFICATION	VOLUME	DISPOSITION INSTRUCTIONS

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

**TO: GENERAL SERVICES ADMINISTRATION,
 NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20409**

1. FROM (AGENCY OR ESTABLISHMENT)

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

5. TEL. EXT.

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C. DATE	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE
----------------	----------------------------------------------	-----------------

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN

115-107

STANDARD FORM 115
 Revised April, 1975
 Prescribed by General Services
 Administration
 FPMR (41 CFR) 101-11.4

Figure 3

INFORMATION REQUEST FLAG

THIS FORM IS USED TO SAFEGUARD FROM INADVERTENT DESTRUCTION RECORDS THAT ARE INVOLVED IN FREEDOM OF INFORMATION ACT OR PRIVACY ACT REQUESTS, LITIGATION, OR MATTERS UNDER INVESTIGATION BY THE DEPARTMENT OF JUSTICE OR CONGRESS. IT MUST BE FILED IN THE FRONT OF A FOLDER TO LIST ALL DOCUMENTS IN THE FOLDER RELATED TO A SPECIFIC REQUEST (one form for each request), OR AS A SINGLE ATTACHMENT TO EACH INDIVIDUAL DOCUMENT. IT MUST NOT BE REMOVED FROM THE DOCUMENT OR FOLDER UNTIL THE RECORD SERIES IS DUE FOR DESTRUCTION IN ACCORDANCE WITH APPROVED RECORDS CONTROL SCHEDULES AT WHICH TIME DISPOSITION OF FLAGGED RECORDS WILL BE CHECKED WITH THE COMPONENT RECORDS MANAGEMENT OFFICER AND OTHER AUTHORITIES AND WILL BE DEPENDENT ON THE STATUS OF EACH REQUEST.

TYPE OF REQUEST

PRIVACY ACT *	CONGRESSIONAL INVESTIGATIONS	OTHER (specify)
FOIA	DEPT. OF JUSTICE INVESTIGATIONS	
LITIGATION	MANDATORY CLASSIFICATION REVIEW	

REQUESTER

REQUEST NO.

SUBJECT OF REQUEST

DATE OF REQUEST

DOCUMENTS SUBJECT TO REQUEST - INCLUDE FILE NO., SYMBOL, DATE AND SUBJECT

 CONTINUED ON SEPARATE PAGE

REMARKS

 CONTINUED ON SEPARATE PAGE

DATE OF COMPONENT RESPONSE

DATE APPEALED (if applicable)

DO NOT REMOVE THIS FORM FROM THIS FILE

**REQUEST FOR AUTHORIZATION
TO RETAIN OR DESTROY QUESTIONABLE RECORDS**

1. DESTRUCTION AUTHORIZATION NO. (Assigned by RAB)

TO : Chief, Information Systems Analysis Staff, DDA
 THRU: Component Records Management Officer
 Directorate Records Management Officer
 Records Administration Branch, ISAS/DDA
 Office of General Counsel

FROM: (OFFICE DESIGNATION OF ORIGINATOR)

2. DATE PREPARED

THE RECORDS IDENTIFIED BELOW ARE SCHEDULED FOR IMMEDIATE DESTRUCTION; HOWEVER, THEY MAY BE SUBJECT TO ACTUAL OR IMPENDING LEGAL OR INVESTIGATIVE REQUIREMENTS. AUTHORIZATION IS REQUESTED EITHER TO RETAIN THE RECORDS OR TO DESTROY THEM AS SCHEDULED. THE RECORDS ARE BEING HELD PENDING RECEIPT OF AUTHORIZATION. IF FURTHER RETENTION IS REQUIRED, REVISED DISPOSITION INSTRUCTIONS MUST BE PROVIDED TO RECORDS ADMINISTRATION BRANCH, ISAS.

IDENTIFICATION OF RECORDS

3. OFFICE	4. SCHEDULE NO.	5. ITEM NUMBER	6. INCLUSIVE DATES	7. VOLUME (cu. ft.)

6. PROVIDE DETAILED DESCRIPTION AND LISTING OF RECORDS AND/OR ATTACH COPY OF FORM 140 AND 140A, MARKED TO INDICATE WHICH RECORDS ARE QUESTIONABLE. EXPLAIN BASIS FOR DETERMINING THAT RECORDS ARE QUESTIONABLE.

 CONTINUED ON SEPARATE PAGE

	9. TYPED NAME AND SIGNATURE OF CUSTODIAN OF RECORDS	EXTENSION	DATE
	10. TYPED NAME AND SIGNATURE OF COMPONENT RECORDS MANAGEMENT OFFICER	EXTENSION	DATE
	11. TYPED NAME AND SIGNATURE OF DIRECTORATE RECORDS MANAGEMENT OFFICER	EXTENSION	DATE

AUTHORIZATION TO RETAIN OR DESTROY RECORDS

RETAIN ALL <input checked="" type="checkbox"/>	12. TYPED NAME AND SIGNATURE OF GENERAL COUNSEL REPRESENTATIVE	EXTENSION	DATE
RETAIN PARTIAL <input type="checkbox"/>			
DESTROY ALL <input type="checkbox"/>			
APPROVED	13. TYPED NAME AND SIGNATURE OF CHIEF, INFORMATION SYSTEMS ANALYSIS STAFF		DATE

14. 1. PROVIDE JUSTIFICATION FOR CONTINUED RETENTION. ALSO PROVIDE PROPOSED NEW DISPOSITION INSTRUCTIONS.

2. INDICATE UNDER SECTION 8 ABOVE WHICH RECORDS ARE TO BE RETAINED. THOSE NOT INDICATED FOR RETENTION ARE AUTHORIZED FOR IMMEDIATE DESTRUCTION.

 CONTINUED ON SEPARATE PAGE

RECORDS RETIREMENT REQUEST		JOB NO. ASSIGNED BY RECORDS CENTER	
Submit original and 4 copies to Records Center. Two copies will be returned to the originating office. Additional copies may be prepared as indicated by your RMO.		For Reference Service on Records Transferred to Storage Complete Form 490 and Refer to Above Job Number.	
PART I (TO BE COMPLETED BY THE RECORDS CUSTODIAN)			
TO:	FROM: DEPOSITING OFFICE (DIV/BR/SEC)	DATE	
		ROOM	BUILDING
APPLICATION IS MADE FOR RETIREMENT OF THE RECORDS DESCRIBED BELOW			
DESCRIPTION OF FILE SERIES IN DETAIL. DO NOT CITE RECORDS CONTROL SCHEDULE DESCRIPTION. USE FORM NO. 4034 (DDO) OR 4034A.			
SHELF LIST INCLUDED IN TRANSFER			
SCHEDULE NO.	ITEM(S) NO.	CLASSIFICATION/CODEWORD OF RECORDS	SIGNATURE OF RECORDS CUSTODIAN:
PART II (TO BE COMPLETED BY THE RECORDS MANAGEMENT OFFICER)			
CITE RESTRICTIONS ON USE OF RECORDS AND INCLUDE THE SAME RESTRICTION ON BOX LABEL (FORM 14) FOR EACH BOX IN JOB (If no restrictions write "None")			
DATE	SIGNATURE RECORDS MANAGEMENT OFFICER		
PART III A (TO BE COMPLETED BY RECORDS CENTER)			
DISPOSITION OF THE RECORDS DESCRIBED HEREON HAS BEEN MADE AS FOLLOWS:			
AUTHORIZATION:			
WHOLE JOB DISPOSITION		PARTIAL JOB DISPOSITION	
<input checked="" type="checkbox"/> DESTROYED		DESTROYED-BOX NOS.	
<input checked="" type="checkbox"/> TRANSFERRED TO:		TRANSFERRED-BOX NOS. TO:	
		SEE ATTACHMENT(S)	SEE REMARKS ON BACK
DATE	SIGNATURE CHIEF, DISPOSITION, AGENCY RECORDS CENTER		
PART III B (TO BE COMPLETED BY ARCHIVES)			
DATE ACCESSIONED-	SIGNATURE (Chief, Agency Archives)		

Figure 6

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COMPONENT RMO

REVIEWING OFFICER

INPUT OPERATOR

DATE _____

(PLEASE PRINT)

DATE

FORM 4034A
19-73

FILE REVIEW WORKSHEET

BOX NO. OF	BOXES	JOB NO.
OFFICE		DIVISION
BRANCH		SECTION
FILE SERIES		
STARTS		
ENDS		
EXCEPTIONS		
RECORDS STORAGE BOX LABEL		
FORM NO. 14 REPLACES FORM NO. 36-288 1 JUL 54 WHICH MAY BE USED.		(35)

Figure 8

Approved for Release 2005/08/02 : CIA-RDP84B00890R000600140003-6
TRANSFERRED TO AGENCY ARCHIVES AND RECORDS CENTER

Office _____

Responsible Area Top Control Office

JOB NO.

(24)

Received-

Date:

AABC